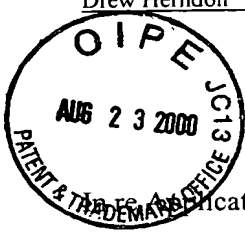


**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on August 21, 2000

Drew Herndon

*DH Herndon*



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AUG 24 2000

TC 2700 MAIL ROOM

PATENT

Attorney Docket No. 22698-702

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Patent Application

PATENT APPLICATION

Inventor(s): Leslie Cheong et al.

Art Unit: 2757

Application No.: 09/579,787

Examiner: Unknown

Filed: May 26, 2000

Title Method and Apparatus for Surrogate Control of  
Network-Based Electronic Transactions

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SEP 12 2000  
TC 2700 MAIL ROOM

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Listed below or on an attached Form PTO-1449 is information known to applicant(s). A copy of each listed publication and U.S. and foreign patent, except for pending U.S. applications, is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If form PTO-1449 is enclosed, the Examiner is requested to initial and return it in accordance with MPEP §609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56.

- ☒ This statement qualifies under 37 C.F.R. §1.97, subsection (b) because (check all that apply):
- ☐ (1) It is being filed within 3 months of the application filing date  
-- OR --
- ☐ (2) It is being filed within 3 months of entry of a national stage  
-- OR --
- ☒ (3) It is being filed before the mail date of the first Office Action on the merits.
- ☐ 37 C.F.R. §1.97(c). If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; or (3) the mailing date of a first Office action on the merits, but before the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, then:
- ☐ a certification as specified in §1.97(e) is provided below; **or**
- ☐ a fee of \$240.00 as set forth in §1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☐ 37 C.F.R. §1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, but before payment of the issue fee, then:
- A. a certification as specified in §1.97(e) is completed below; and
- B. a petition under 37 C.F.R. §1.97(d) requesting consideration of this statement is submitted herewith; **and**
- C. a fee of \$130.00 as set forth in §1.17(i)(1) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☒ **Fee Authorization.** The Commissioner is hereby authorized to charge the above-referenced fees of \$0.00 and charge any additional fees or credit any overpayment associated with this communication to Deposit Account No. 23-2415 (Docket No. 22698-702).

Respectfully submitted,

WILSON SONSINI GOODRICH & ROSATI

Dated: 8-21-00

By: Richard L. Gregory, Jr.  
Richard L. Gregory, Jr., Reg. No. 42,607

650 Page Mill Road  
Palo Alto, CA 94304-1505  
(650)493-9300  
Customer No. 021971

<b>INFORMATION DISCLOSURE CITATION</b>  <b>PTO-1449</b>		ATTY. DOCKET NO. 22698-702		SERIAL NO. 09/579,787 RECEIVED AUG 24 2000			
		APPLICANT Cheong et al.					
		FILING DATE May 26, 2000		TC 2700 MAIL ROOM GROUP 2757			
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE	
<i>gsl</i>	4,454,414	6-12-84	Benton	235	379	4-5-82	
<i>gsl</i>	4,654,793	3-31-87	Elrod	364	401	10-15-84	
<i>gsl</i>	4,725,719	2-16-88	Oncken et al.	235	487	7-21-86	
<i>gsl</i>	4,837,422	6-6-89	Dethloff et al.	235	380	9-8-87	
<i>gsl</i>	4,859,837	8-22-89	Halpern	235	380	9-15-88	
<i>gsl</i>	4,906,828	3-6-90	Halpern	235	379	5-31-88	
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<b>FOREIGN PATENT DOCUMENTS</b>							
EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
						<input type="checkbox"/>	<input type="checkbox"/>
						<input type="checkbox"/>	<input type="checkbox"/>
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
<i>gsl</i>	"Sinton, P., "Visa Wants To Kill Cash. It hopes "smart cards" will become the payment method of choice", <i>San Francisco Chronicle</i> , October 11, 1995, page B1.						
	Heady, R., "Brokers Compete With Lenders", <i>The Denver Post</i> , November 19, 1995, page J-14.						
<i>gsl</i>	Garfinkel, S., "Companies Rush To Say "Buy-Buy" Over Net", <i>San Jose Mercury News</i> , October 1, 1996.						
	Landbert, M., "Verifone Wants To Plug In To Cash", <i>San Jose Mercury News</i> , October 1, 1996.						
<i>gsl</i>	Swenson, J., "Filing Expenses Via American Express", <i>Information Week</i> , July 1, 1996, page 103.						
	Gianturco, M., "Digital Cash", <i>Forbes</i> , August 14, 1995, page 164.						
EXAMINER			DATE CONSIDERED 12-1-02				

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.